

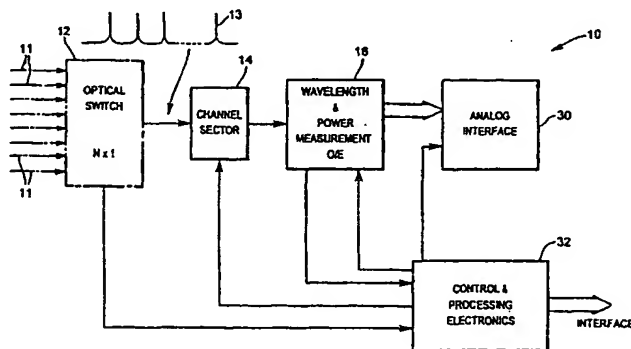
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## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

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(21) International Application Number: PCT/CA99/00781 (22) International Filing Date: 27 August 1999 (27.08.99) (30) Priority Data: 60/098,382 28 August 1998 (28.08.98) US (71) Applicant: E-TEK ELECTROPHOTONICS SOLUTIONS CORPORATION [CA/CA]; 2770 14th Avenue, Markham, Ontario L3R 0J1 (CA). (72) Inventors: ALAVIE, Tino, A.; Unit 37, 190 Harding Boulevard, Richmond Hill, Ontario L4C 0J9 (CA). XU, Ming, Gang; Suite 701, 5 Brookbanks Drive, Don Mills, Ontario M3A 2L7 (CA). ALLOS, Basil; Apartment 1701, 177 Linus Road, Toronto, Ontario M2J 4S5 (CA). (74) Agents: SCHUMACHER, Lynn, C. et al.; Hill & Schumacher, Suite 802, 335 Bay Street, Toronto, Ontario M5H 2R3 (CA).			(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  <b>Published</b> <i>Without international search report and to be republished upon receipt of that report.</i>

(54) Title: METHOD AND APPARATUS FOR OPTICAL PERFORMANCE MONITORING IN WAVELENGTH DIVISION MULTIPLEXED FIBER OPTICAL SYSTEMS



## (57) Abstract

The method and apparatus forming the present invention allows for rapid analysis of the optical spectrum and its content by controlling the spectral position of a channel select element and using a ratiometric wavelength and power determination technique to accurately analyze the transmitted or elected portion of the optical spectrum. The channel select element can be either a transmissive or reflective device which can be tuned by way of a control signal. The system can be operated in either scan and post process mode or in a continuous feedback mode where the position of the channel select element is determined by the ratiometric wavelength determination system and used to control the wavelength position of the channel select element. The ratiometric wavelength and power determination system, in its typical form, is based on dividing the spectrally encoded optical signal into two parts. One part of this signal passes through an optical filter with continuously increasing or decreasing transmission as a function of wavelength while the other part is unperturbed. The two parts are subsequently detected by optical to electrical detectors where the electrical signal is proportional to the optical signal. Dividing the two signals reveals a unique number which is a power independent representation of the input wavelength. The present invention advantageously provides a method and device to measure simultaneously several carriers and not just one. Furthermore, in the present invention, a power measurement is obtained by using the unfiltered part of the optical signal.

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## METHOD AND APPARATUS FOR OPTICAL PERFORMANCE MONITORING IN WAVELENGTH DIVISION MULTIPLEXED FIBER OPTICAL SYSTEMS

### FIELD OF THE INVENTION

5           The present invention relates to a method and apparatus for optical spectrum analysis in wavelength division multiplexed fiber optic systems.

### BACKGROUND OF THE INVENTION

Wavelength division multiplexing is one way in which the information capacity,  
10   bandwidth, of an optical fiber can be substantially increased. This is accomplished by using several optical carriers within a narrow spectrum, typically around 1550 nm, which individually carry information in the optical fiber. In such systems, the information is encoded onto each carrier. The carriers are then combined through an optical multiplexer which then permits simultaneous transmission of all carriers into the  
15   optical fiber. At the receiving end, the optical signals are passed through an optical demultiplexer which subsequently routes the individual carriers to their appropriate channel. The present invention relates to the measurement of optical parameters for individual carriers in a wavelength division multiplexed fiber optic system. In such systems, measurement of optical parameters on a per carrier basis are critical as they  
20   provide vital information regarding both the health of the optical networks over which such systems operate in addition to the performance of the system. Such information can then be used for diagnosis and repair or for performance optimization actions.

The optical information sought can usually be determined by the measurement of wavelength, power, and optical signal-to-noise ratio all measured on a per carrier basis. The measurement of such parameters must be accurate, have a wide range, and be performed in a timely manner so as to provide the necessary information in the  
5 shortest amount of time for the appropriate actions.

The conventional approach to analyzing the optical parameters of a spectrally dependent system is to use an optical spectrum analyzer. These systems are generally based on using an optical tool known as a monochromator. Monochromator based optical spectrum analyzers are typically slow, large in size for most embedded  
10 and field applications, and tend to drift with time, giving poor absolute accuracy. In fact, for most applications more than one instrument is typically used to obtain key optical parameters such as those described above.

Accordingly it would be advantageous to provide a ratiometric wavelength and power detection system that accurately provides wavelength, power, and signal-to-  
15 noise ratio measurements on a per carrier basis. Further, it would be advantageous if such a system could be provided in situ to provide these measurements so that the information could be monitored on a continual basis. Alternatively it would be advantageous if such a system could be used as a stand alone diagnostic tool.

20

## SUMMARY OF THE INVENTION

It is an object of the present invention to provide a method and devices for

analyzing an optical spectrum in wavelength division multiplexed fiber optic systems that provides wavelength, power, and signal-to-noise ratio measurements on a per carrier basis.

The present invention provides an apparatus for analyzing an optical spectrum  
5 in wavelength division multiplexed fiber optic systems, comprising:  
a tunable channel selector having an input and an output;  
a wavelength and power detection system optically connected to the output of  
the tunable channel selector; and  
a controller connected to the tunable channel selector and the wavelength and  
10 power detection system.

The present invention also provides a ratiometric method of analyzing an optical spectrum in wavelength division multiplexed fiber optic systems, comprising:  
receiving a spectrally encoded optical signal into a tunable channel selector;  
dividing the spectrally encoded optical signal into at least two optical signals  
15 and passing a first optical signal through an optical filter;  
detecting an output of the optical filter and converting the detected optical signal to a first electrical signal and detecting a second optical signal from the divided optical signal and converting it to a second electrical signal; and  
dividing one of the electrical signals by the other electrical signal to give a  
20 power independent representation of an input wavelength.

The method and apparatus forming the present invention allows for rapid

analysis of the optical spectrum and its content by controlling the spectral position of a channel select element and using a ratiometric wavelength and power determination technique to accurately analyze the transmitted or selected portion of the optical spectrum. The channel select element may be either a transmissive or reflective device which may be tuned by way of a control signal. The system can be operated in either scan and post process mode or in a continuous feedback mode where the position of the channel select element is determined by the ratiometric wavelength determination system and used to control the wavelength position of the channel select element. The ratiometric wavelength and power determination system, in its typical form, is based on dividing the spectrally encoded optical signal into two parts. One part of this signal passes through an optical filter with continuously increasing or decreasing transmission as a function of wavelength while the other part is unperturbed. The two parts are subsequently detected by optical to electrical detectors where the electrical signal is proportional to the optical signal. Ratioing the two signals reveals a unique number which is a power independent representation of the input wavelength. The present invention advantageously provides a method and device to measure simultaneously several carriers and not just one. Furthermore, in the present invention, a power measurement may be obtained by using the unfiltered part of the optical signal.

## BRIEF DESCRIPTION OF THE DRAWINGS

The method and apparatus for optical performance monitoring in wavelength division multiplexed fiber optic systems forming the present invention will now be described, by example only, reference being had to the accompanying drawings, in  
5 which:

Figure 1 is a system block diagram of the wavelength performance monitoring system of the present invention;

Figure 2 is a detailed drawing of the optical circuit of the wavelength performance monitoring system of the present invention including a nx1 optical switch  
10 to accommodate several inputs;

Figure 3 is a detailed drawing of the optical circuit of an alternate embodiment of the wavelength performance monitoring system of the present invention including a method for creating two absolute wavelength reference points;

Figure 4 is a detailed drawing of the optical circuit of an alternate embodiment  
15 of the wavelength performance monitoring system of the present invention which provides for nulling-out insertion loss variations for the nx1 switch, the tunable filter, and the wavelength and power determination system;

Figure 5 is a detailed drawing of the optical circuit of an alternate embodiment of the wavelength performance monitoring system of the present invention including an  
20 absolute wavelength and power reference without the need for the optical switch;

Figure 6 is a representative output plot of the system;

Figure 7 is a detailed drawing of the optical circuit of an alternate embodiment of the wavelength performance monitoring system of the present invention including a period filter in the ratiometer.

Figure 8 is a detailed drawing of the optical circuit of an alternate embodiment of the wavelength performance monitoring system of the present invention similar to figure 7 but also including a Bragg grating reflector or other means of providing a wavelength reference;

Figure 9 is a detailed drawing of the optical circuit of an alternate embodiment of the wavelength performance monitoring system of the present invention including a wavelength dependent coupler in the ratiometer; and

Figure 10 is a detailed drawing of the optical circuit of an alternate embodiment of the wavelength performance monitoring system of the present invention including a wavelength division multiplexer, a reference LED light, a demultiplexer and a periodic wavelength dependent filter.

15

## DETAILED DESCRIPTION OF THE INVENTION

The present invention embodies the use of a channel select filter together with a ratiometric wavelength and power determination system to accurately provide wavelength, power, and signal-to-noise ratio measurements on a per carrier basis.

The system of the present invention can all be accomplished in a lightweight and compact enclosure making it possible to use such system in an embeddable form



within fiber optic transmission systems. Alternatively, the system of the present invention can be used as a stand-alone diagnostics tool for both field and laboratory use.

The method and apparatus forming the present invention allows for rapid  
5 analysis of the optical spectrum and its content by controlling the spectral position of a channel select element and using a ratiometric wavelength and power determination technique to accurately analyze the transmitted or elected portion of the optical spectrum. The channel select element can be either a transmissive or reflective device which can be tuned by way of a control signal. The system can be operated in either  
10 scan and post process mode or in a continuous feedback mode where the position of the channel select element is determined by the ratiometric wavelength determination system and used to control the wavelength position of the channel select element.

Referring to Figure 1 the optical performance monitoring system of the present invention, shown generally at 10, is based on dividing the spectrally encoded optical  
15 signal into two parts and thereafter using a ratiometric wavelength and power determination system. Multiple optical fibers 11 are inputted to an optical switch 12 and the single output of switch 12 is inputted into a tunable channel selector 14 with the spectral output 13 of switch 12 shown. The output of the channel selector 14 is input into a ratiometric wavelength and power measurement system 16. A controller  
20 32 is connected to switch 12, tunable channel selector 14, ratiometric wavelength and power detection system 16 and an analog interface 30.

Referring to Figure 2, the ratiometric wavelength and power detection system 16 comprises a signal splitter 18 which splits the signal from channel selector 14 into two optical signals. One of these signals passes through an optical filter 22 with continuously increasing or decreasing transmission as a function of wavelength while the other optical signal is unperturbed. The output of filter 22 and the unperturbed signals are subsequently detected by optical electrical detectors 24 and 26 respectively where the electrical signal is proportional to the optical signal. Dividing the two signals in sub-processor 27 produces a unique ratio which is a power independent representation of the input wavelength. The present invention advantageously provides a method and device to measure simultaneously several carriers and not just one. Furthermore, in the present invention, a power measurement is obtained by using the unfiltered part of the optical signal.

In one preferred embodiment of the invention a tunable Fabry-Perot filter is used as the channel select element 14 where the control signal to tune the filter is simply scanned such that the filter tunes over the wavelength range of interest whilst the spectral data is collected. Post processing of the data by using the ratiometric wavelength determination technique reveals the accurate wavelength, power, and signal-to-noise ratio of each carrier. More specifically, the channel select filter 14 is scanned from the shortest wavelength of interest to the longest wavelength of interest and provides the adjacent channel isolation necessary for the ratiometric wavelength determination systems to measure the wavelength and the power in each step of the

spectrum. In this way, the data can be post processed to reveal carriers, their wavelengths and their associated powers. Further routine calculations also provide information regarding signal-to-noise ratio which is a relative measure of the carrier strength to the background optical noise. This information can be used to further adjust overall transmission system parameters to allow for reliability and optimal performance.

In another embodiment a Bragg grating is used in a tunable configuration together with a fiber optic circulator (not shown) to form the channel select filter 14. Here the fiber Bragg grating is strain or temperature tuned over a range of wavelengths which coincide with that of the optical spectrum under test. The fiber Bragg grating is designed such that its bandwidth and isolation conform with the desired wavelength resolution and signal-to-noise ratio required for the particular application. It will also be appreciated that the tunable channel selector may be a thin film based filter, for example a semiconductor or other type of film coated on a substrate and tilted provides wavelength selectivity.

Whilst using the channel select filter 14 with its associated control signal should in theory be sufficient for identifying the spectral position of the filter and thereafter being able to reconstruct the optical spectrum, most commercially available filters have a tendency to drift and have a poor absolute accuracy of spectral position with their control signal. The ratiometric wavelength determination approach disclosed herein overcomes all the ambiguity associated with the spectral position of the channel select

filter 14 in a compact and cost efficient form.

Referring to Figure 3, in the event that either the ratiometric wavelength and power detection system 16 or the channel select filter 14 drift with time and

temperature, the optical circuit 34 comprised of a light emitting diode (LED) 36, a

5 splitter 38, and a single or multiple (as shown here) temperature stabilized gratings 40,

as depicted in the Figure, can be used to establish an absolute wavelength reference.

In this case, the reflections from the gratings 40 are selected by moving the optical switch 12 to the appropriate channel. This light is then passed through the remainder of the optical circuit and measured using the detectors. Upon post-processing of the

10 signal, the relative positions of the gratings with respect to the system can be

established. By establishing the absolute wavelength of the gratings *a priori*, the

relative drift of the system with respect to wavelength may be determined and

corrected in post processing. This provides an embedded calibration system without the need for making such corrections off-line.

15 An alternative embodiment of an embedded self-calibration section is shown in Figure 4 and is generally described above but the embodiment of Figure 5 includes the addition of a bandpass filter 42 and use of the other port of the splitter 38. By

connecting the output to the bandpass filter 42, power losses of the system can also be calibrated provided that both the LED 36 and the splitter 38 are stable themselves.

20 Figure 5 depicts a variation to the approach shown in Figure 3 with the exception of passing the reference light through a coupler 44 located between optical

switch 12 and the tunable selector 14 instead of the switch 12. This has the added benefit of having the reference light present at all times.

Referring to Figure 6, a representative output plot of the system is shown generally at 46 wherein wavelength is shown along the x-axis and power is shown  
5 along the y-axis.

In another embodiment shown in Figure 7, the wavelength dependent filter used in the wavelength and power determination circuit 16 is a periodic filter 48. The device, for example, may be a Fabry-Perot filter with a pre-determined period so as to provide an absolute wavelength versus transmission response over a specific  
10 wavelength region. The periodicity of the filter 48 is chosen such that the output response of the filter varies monotonically with wavelength. This filter 48 has the advantage of allowing for measurement with much higher resolution. Since these filters are typically multiple-valued, a fiber Bragg grating reflector 50 (or other types of reference filters) can be used in front of the period filter 48 to provide a reference as  
15 shown in Figure 8. Given that the filter 48 is periodic with a known period in terms of wavelength, determination of the wavelength of the input signal is made by establishing a reference and measuring the ratio which is provided by the ratiometric system.

In another embodiment shown in Figure 9, the output of the channel select filter  
20 14 is passed through a wavelength dependent optical splitter 52. The coupler 52 has two outputs which are wavelength dependent and usually complimentary with each

other. The wavelength dependent filter 54 in one branch has a monotonically increasing transmission response with wavelength and the other filter 56 has a monotonically decreasing response with wavelength. Subsequent detection of these outputs with appropriate photo-detectors 24 and 26 permits a power independent measurement of wavelength of the incoming input signal. In addition, power measurement can also be made to reveal the signal power on a per carrier basis. This embodiment has the advantage of using fewer components and is generally more efficient in loss management. The wavelength calibration circuit includes a broadband light emitting diode (LED) coupled to splitter 38 with Bragg reflectors 40 reflecting light of wavelengths  $\lambda_1$  and  $\lambda_2$  which signals are coupled in splitter 38 and transmitted back to switch 12.

In another embodiment shown in Figure 10 a wavelength division multiplexer 60 is placed in front of the channel select filter 14. Light from an LED 62 in the 1300 nm region is passed through a reference grating 64 to the multiplexer 60. The multiplexer 60 mixes the input signal which is in the 1550 nm region with that of the reference LED light. The input light is then selected by the channel select filter which is independently controlled by the control and processing electronics. The output of the channel select filter 14 is then passed through a demultiplexer 68 which then separates the 1300 nm band 70 and the 1550 nm band 72. The 1300 nm output of the multiplexer is subsequently passed through a periodic wavelength dependent filter 74 with a response tailored to mirror that of the desired 1500 nm response. Final measurement

is made by the detectors 24 and 26 and the outputs are compared in the processor. A correlation function may be used to determine the exact wavelength of the desired 1550 nm region light by comparing the response to the 1300 nm output.

It will be appreciated by those skilled in the art that prior to the method and apparatus of the present invention a ratiometric wavelength and power detection system has not been used in a system for determining the wavelength, power, and signal-to-noise ratio measurements on a per carrier basis in a multicarrier system. Prior to the present invention ratiometric systems could not be used in a multicarrier system because the ratiometric system was unable to differentiate a carrier and thus provide useful measurements.

The foregoing description of the preferred embodiments of the invention has been presented to illustrate the principles of the invention and not to limit the invention to the particular embodiment illustrated. It is intended that the scope of the invention be defined by all of the embodiments encompassed within the following claims and their equivalents.

**THEREFORE WHAT IS CLAIMED IS:**

1. An apparatus for analyzing an optical spectrum in wavelength division multiplexed fiber optic systems, comprising:

- 5           a tunable channel selector having an input and an output;
- a wavelength and power detection system optically connected to the output of the tunable channel selector; and
- a controller connected to the tunable channel selector and the wavelength and power detection system.

10

2. The apparatus according to claim 1 wherein the wavelength and power detection system is a ratiometric wavelength and power detection system.

3. The apparatus according to claim 2 wherein the ratiometric wavelength and power  
15   detection system includes:

          an optical splitter optically connected to the output of the tunable channel selector for splitting an optical signal into at least two branches;

          a first filter in one of the at least two branches and a first detector connected to an output of the first filter and a second detector located in the other of the at least two  
20   branches, the first and second detectors each having an output; and

          a divider circuit to divide the output of the one of the detectors by the output of



the other detector.

4. The apparatus according to claim 3 wherein the first filter is a wavelength dependent filter.

5

5. The apparatus according to claim 3 wherein the first filter is a periodic wavelength dependent filter.

6. The apparatus according to claim 5 further including a Bragg grating reflector  
10 connected to the input of the periodic wavelength dependent filter.

7. The apparatus according to claims 1, 2, 3, 4, 5 or 6 wherein the tunable channel selector is adapted to be tuned using a control signal and is chosen from a group consisting of a transmissive device and reflective device.

15

8. The apparatus according to claims 1, 2, 3, 4, 5, 6 or 7 wherein the tunable channel selector is a Fabry-Perot filter.

9. The apparatus according to claims 1, 2, 3, 4, 5, 6, 7 or 8 wherein the tunable  
20 channel selector includes a tunable Bragg grating and fiber optic circulator.

10. The apparatus according to claim 9 wherein the Bragg grating is strain or temperature tunable over an effective range of wavelengths covering a wavelength range being scanned.

5 11. The apparatus according to claims 3, 4, 5, 6, 7, 8, 9 or 10 wherein the first filter is adapted to provide continuously increasing or decreasing transmission as a function of wavelength.

12. The apparatus according to claims 3, 4, 5, 6, 7, 8, 9, 10 or 11 wherein the first and  
10 second detectors are photodetectors each with an electrical output signal proportional to an optical signal detected by the photodetector.

13. The apparatus according to claims 3, 4, 5, 6, 7, 8, 9, 10, 11 or 12 wherein the  
15 divider circuit divides the output of the first detector by the output of the second detector.

14. The apparatus according to claims 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12 or 13 wherein  
the input of the tunable channel selector is connected to an output of an N x 1 optical  
switch.

20 15. The apparatus according to claim 1 further including a wavelength multiplexer

connected to the input of the tunable filter having an input and an output and an input signal located at the input of the wavelength multiplexer and wherein the wavelength and an input signal power detection system includes:

an optical demultiplexer and splitter located at the output of the tunable channel

5 for splitting a signal into at least two branches;

a wavelength periodic filter in one of the at least two branches and a first detector located at an output of the filter and a second detector located in the other of the at least two branches, the first and second detectors each having an output; and

10 a comparator to compare the output of the one of the detectors to the output of the other detectors.

16. The apparatus according to claim 15 wherein the input signal is in the region of 1300 nm from a light emitting diode passed through a reference grating.

15 17. The apparatus according to claims 15 or 16 wherein the demultiplexer and splitter splits the signal into a 1300 nm branch and a 1550 nm branch and the 1550 nm branch is passed through the filter.

18. The apparatus according to claim 14 further including an optical calibration circuit.

20

19. The apparatus according to claim 18 wherein the optical calibration circuit

includes an optical splitter having an input and an output and having a first branch of the output optically connected to the input to the optical switch, at least one grating located at the input to the optical splitter and a light emitting diode located at a second branch of the splitter output.

5

20. The apparatus according to claim 19 wherein the optical splitter has a first branch of the input and the at least one grating is located at the first branch of the input and further including a bandpass filter optically connected between the optical splitter and the input to the optical switch.

10

21. The apparatus according to claim 18 wherein the optical calibration circuit includes a coupler located between the optical switch and the tunable filter, a splitter having an input and an output and having a first branch of the output located at the coupler, at least one grating located at the input to the splitter and a light emitting diode located at a second branch of the splitter output.

15

22. The apparatus according to claim 11 including a second wavelength dependent filter in the other of the at least two branches, wherein one of the two wavelength dependent filters provides continuously increasing transmission as a function of wavelength and the other wavelength dependent filter provides continuously decreasing transmission as a function of wavelength.

20

23. The apparatus according to claim 22 wherein the divider circuit subtracts the output of the second detector from the output of the first detector to produce a difference and divides this difference by a sum of the output of the first detector and the output of the second detector.

5

24. The apparatus according to claims 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22 or 23 wherein the tunable channel selector includes a thin film based filter.

10 25. A ratiometric method of analyzing an optical spectrum in wavelength division multiplexed fiber optic systems, comprising:

receiving a spectrally encoded optical signal into a tunable channel selector;

dividing the spectrally encoded optical signal into at least two optical signals

and passing a first optical signal through an optical filter;

15 detecting an output of the optical filter and converting the detected optical signal to a first electrical signal and detecting a second optical signal from the divided optical signal and converting it to a second electrical signal; and

dividing one of the electrical signals by the other electrical signal to give a power independent representation of an input wavelength.

20

26. The method according to claim 25 further including the step of continuously

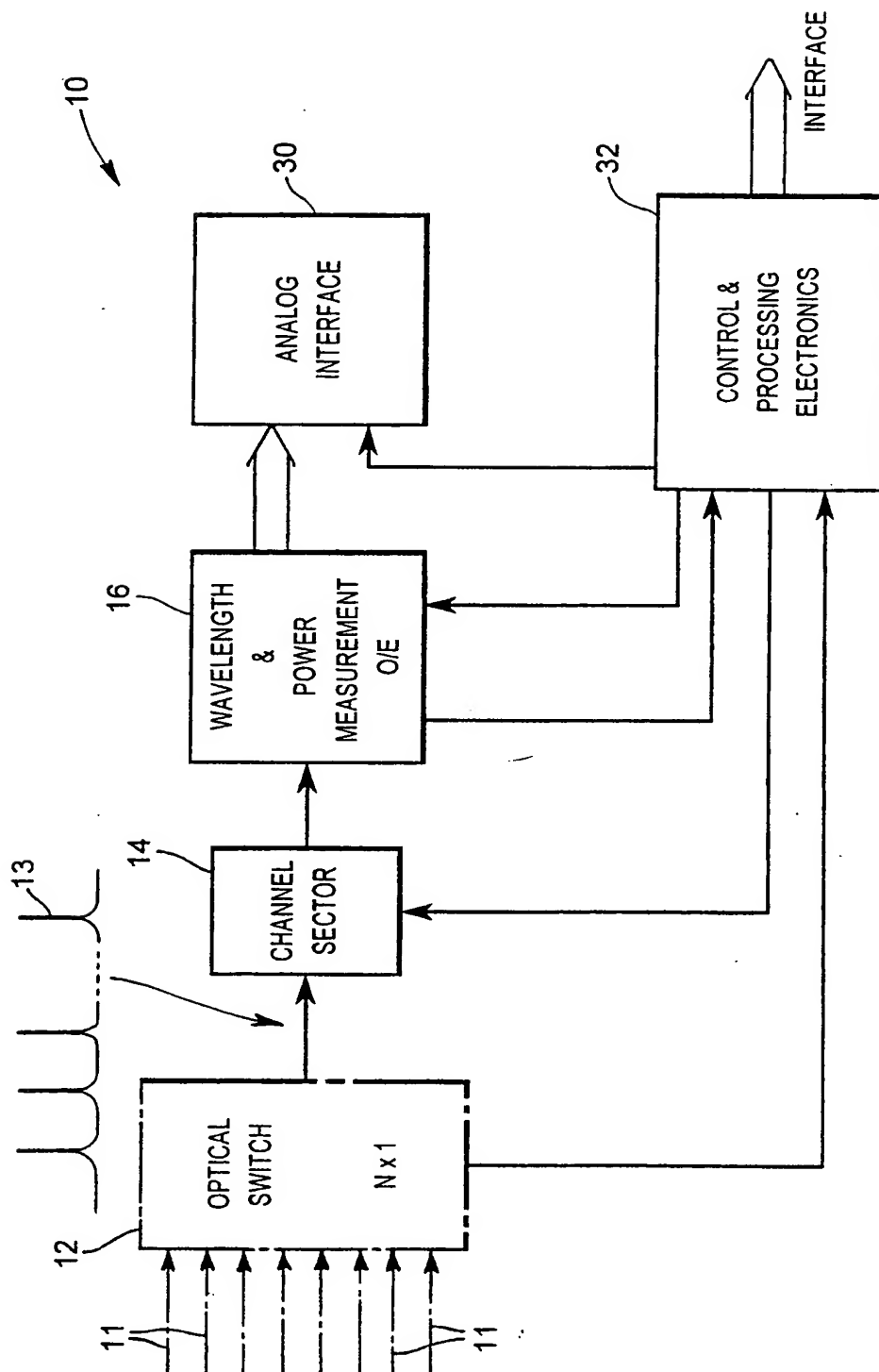
increasing or decreasing transmission as a function of wavelength the signal to the optical filter.

27. The method according to claims 25 or 26 further including the step of tuning the  
5 channel selector using a control signal.

28. The method according to claims 25, 26 or 27 wherein the first electrical signal is divided by the second electrical signal.

10 29. The method according to claims 25, 26, 27 or 28 further including the step of calibrating the system.

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FIG. 1

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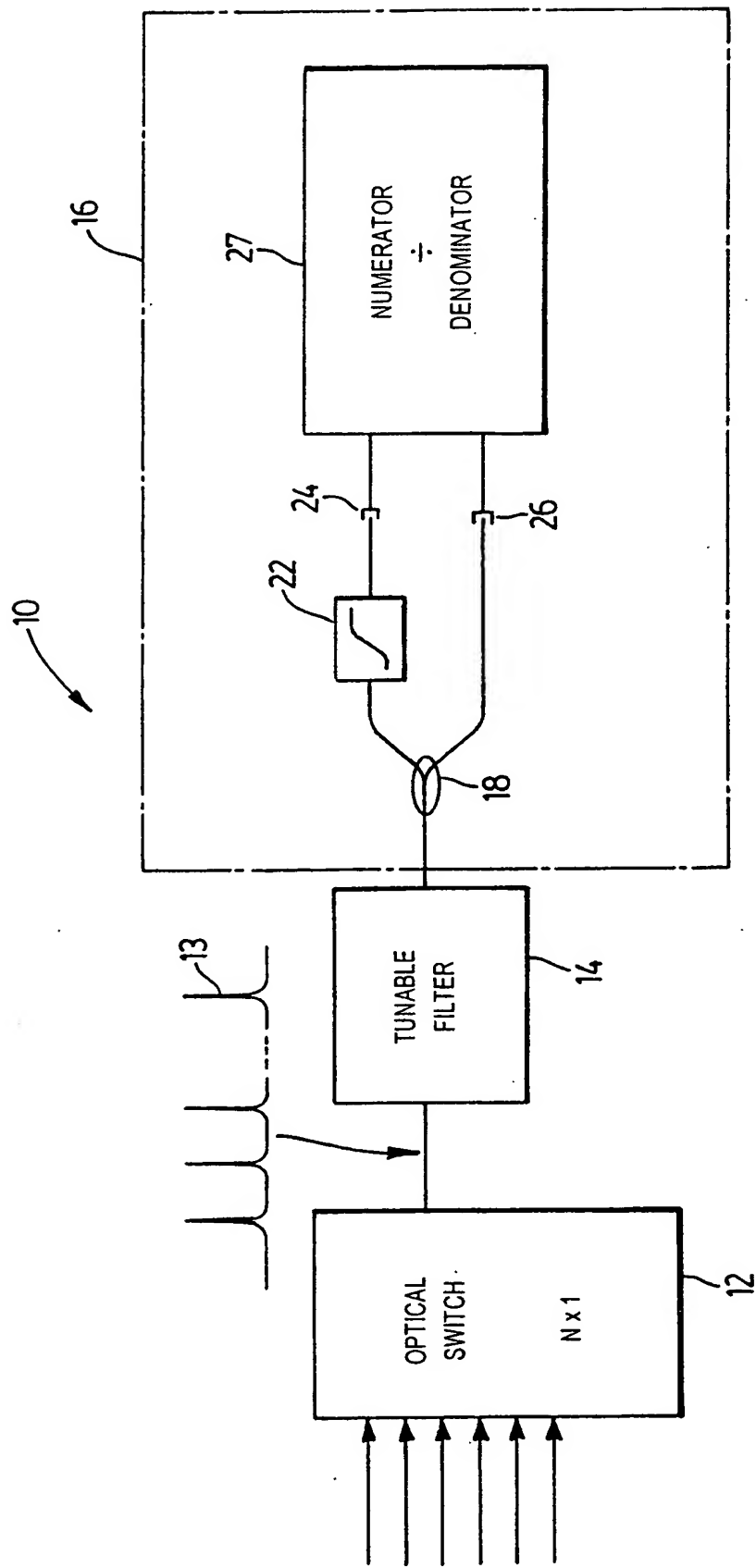


FIG. 2



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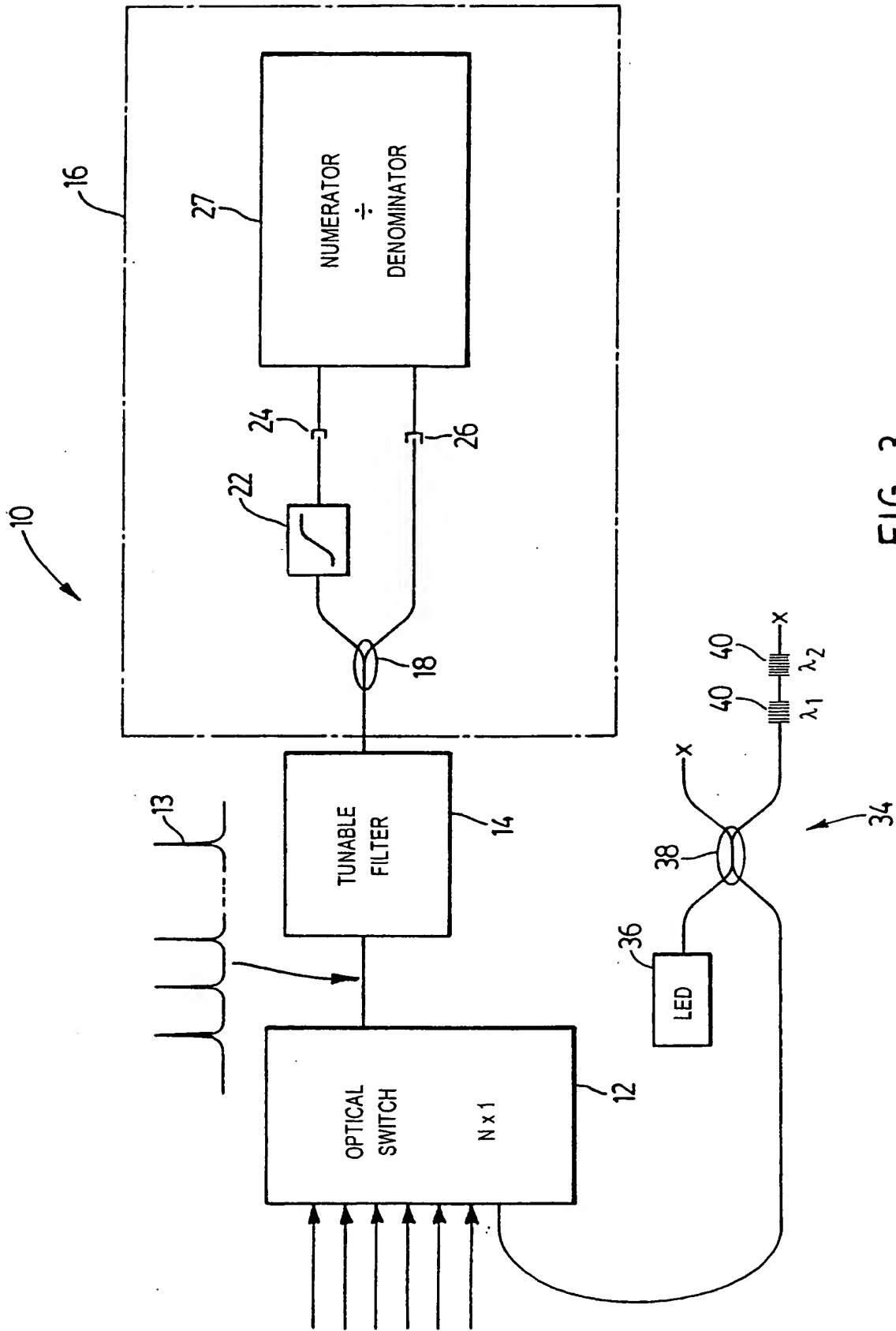


FIG. 3

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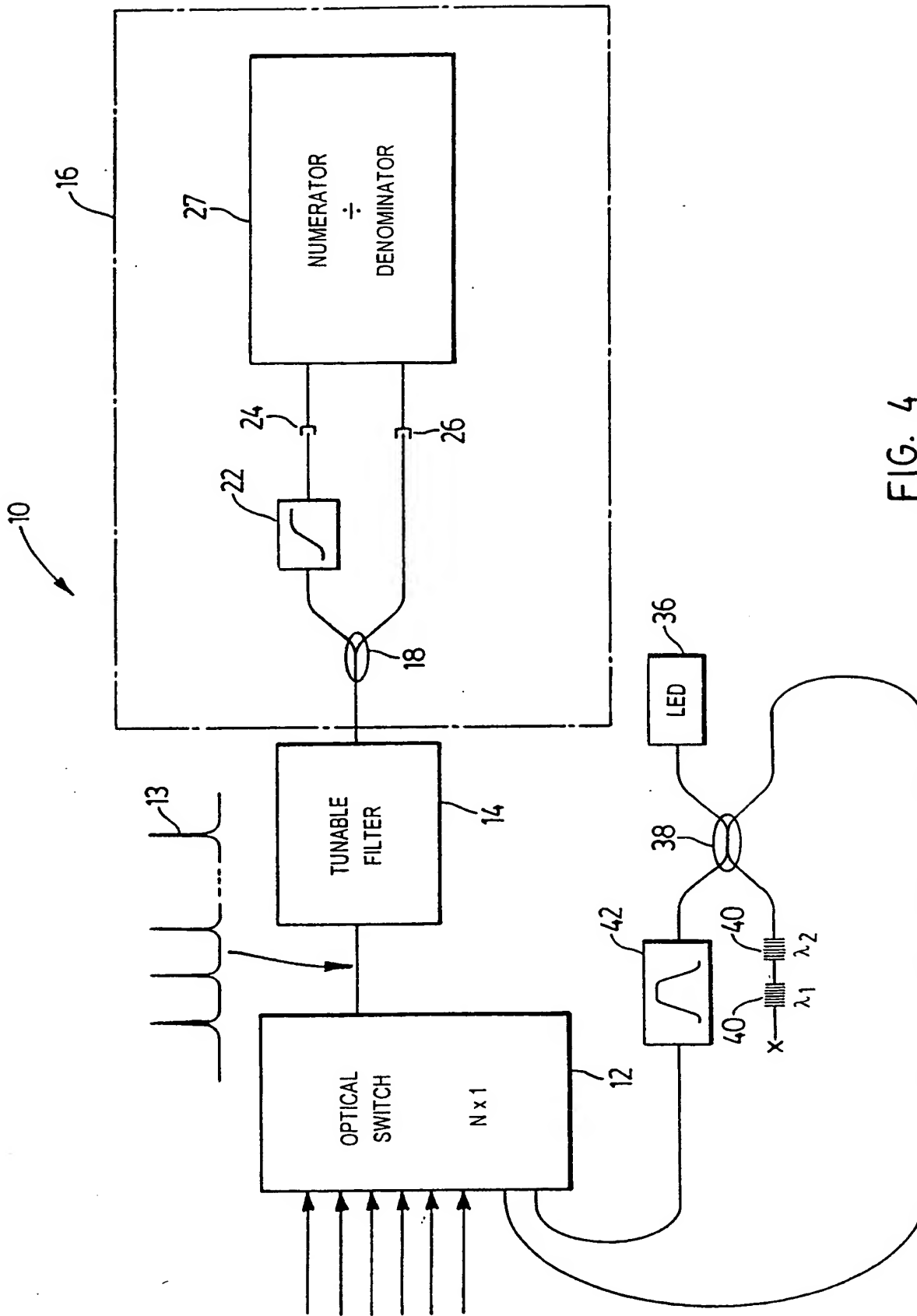


FIG. 4

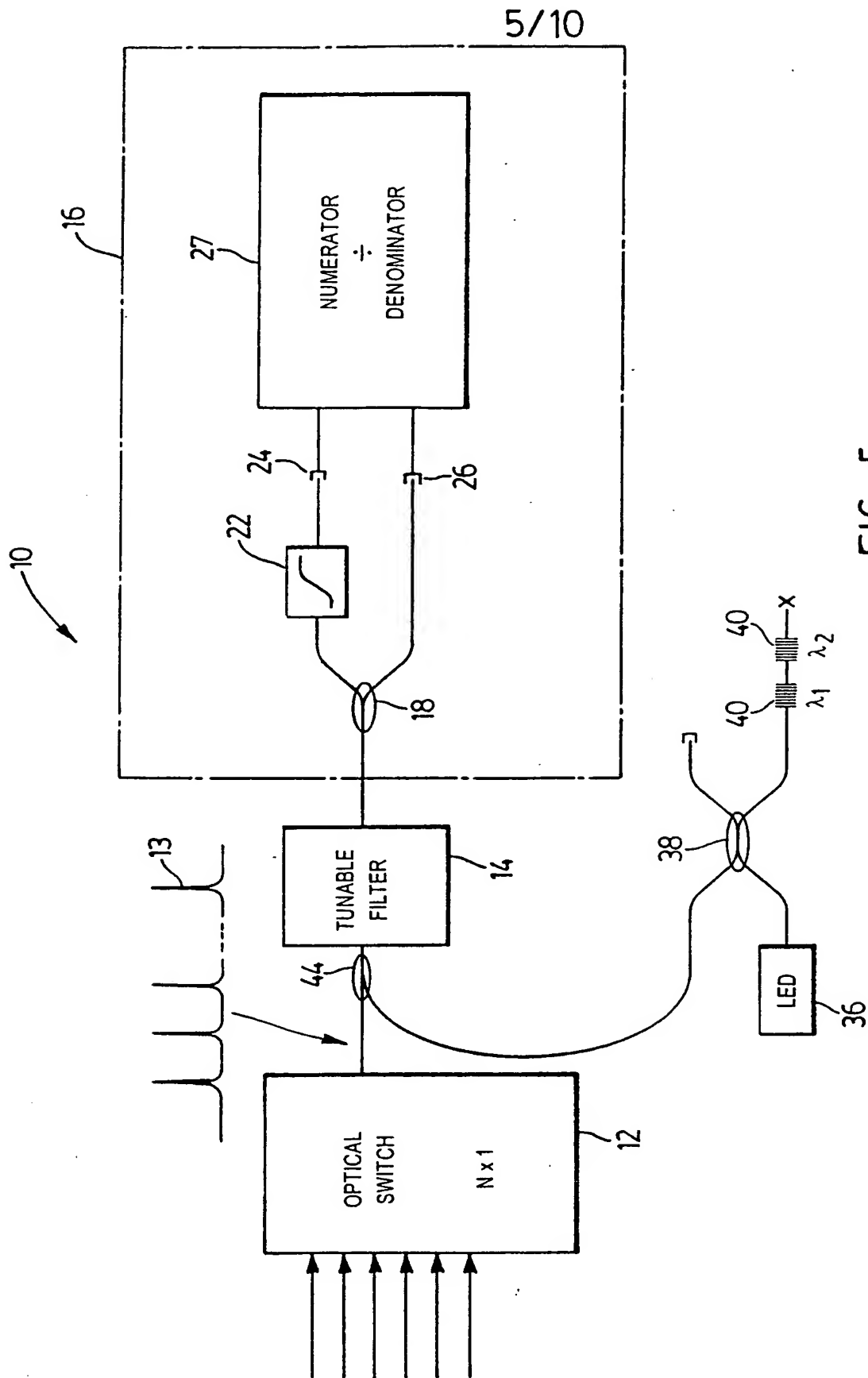
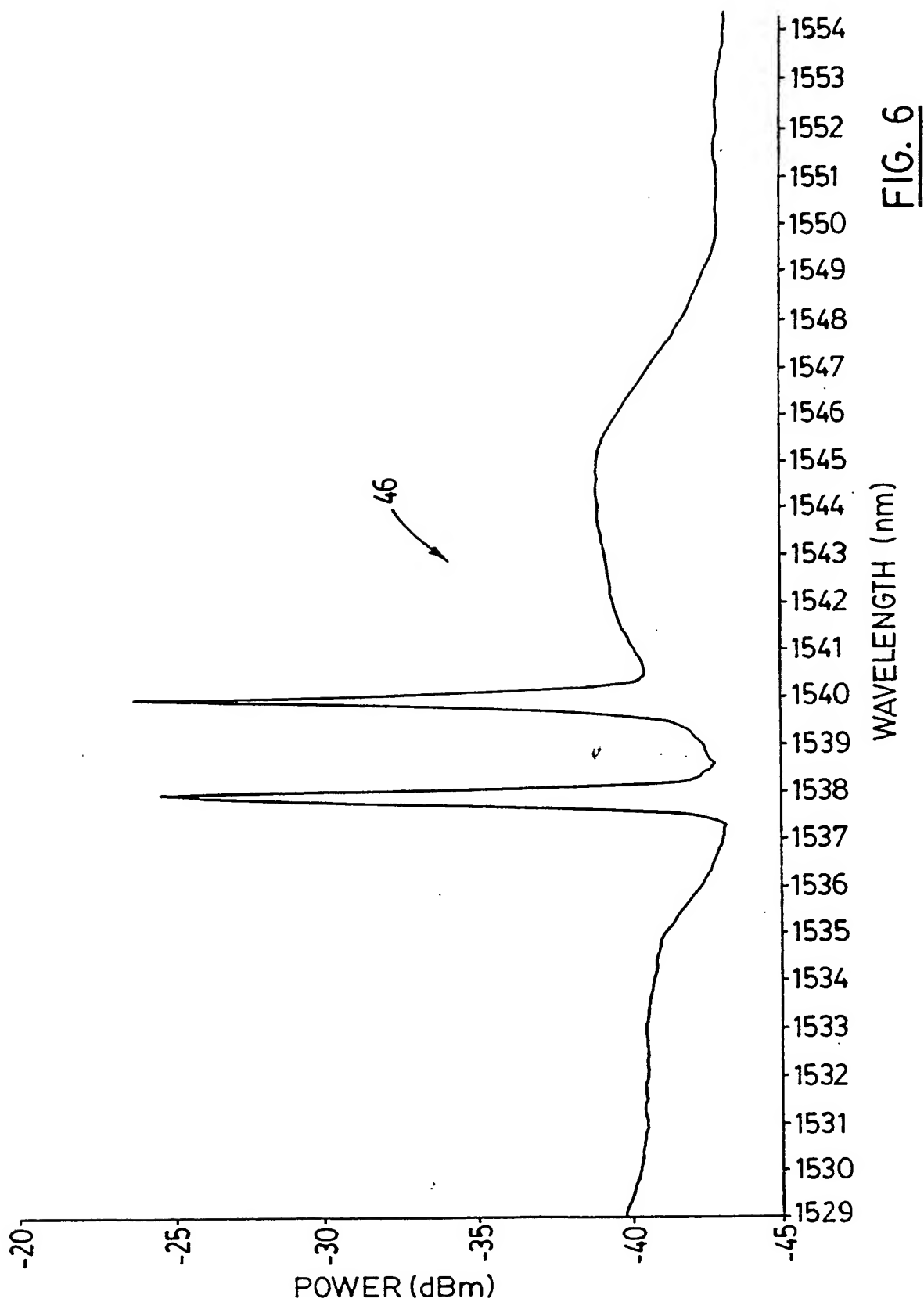


FIG. 5

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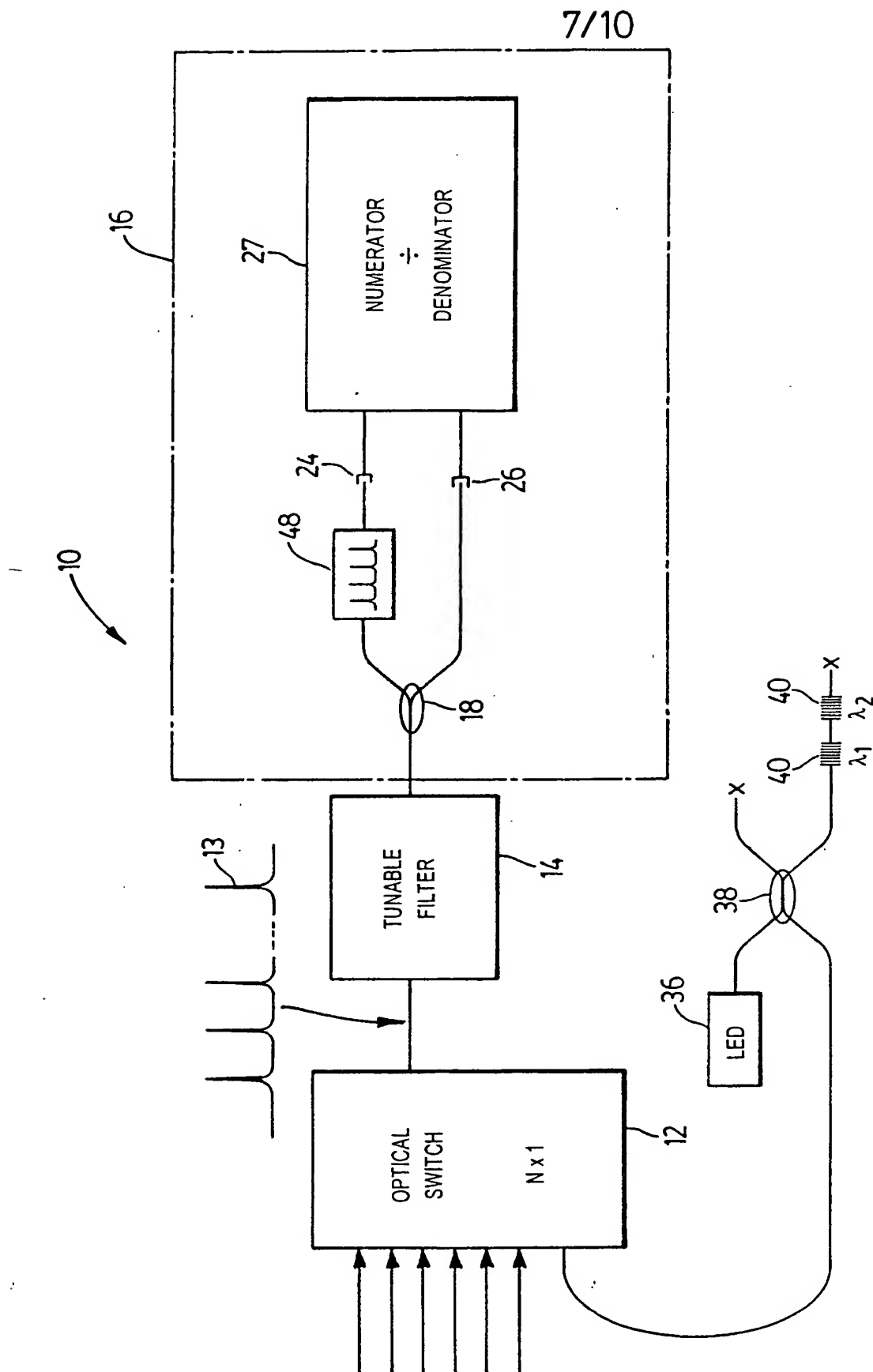


FIG. 7

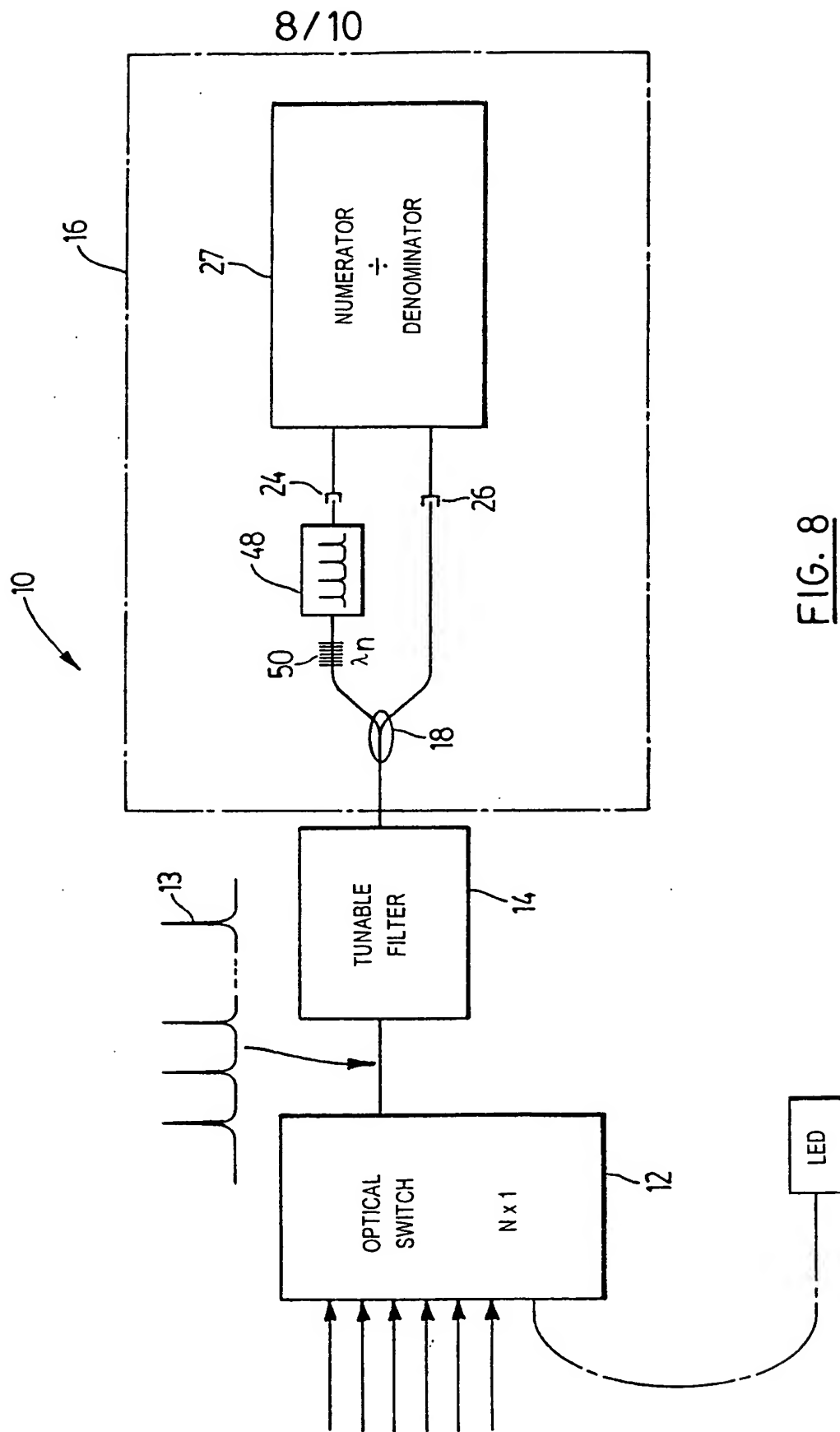


FIG. 8

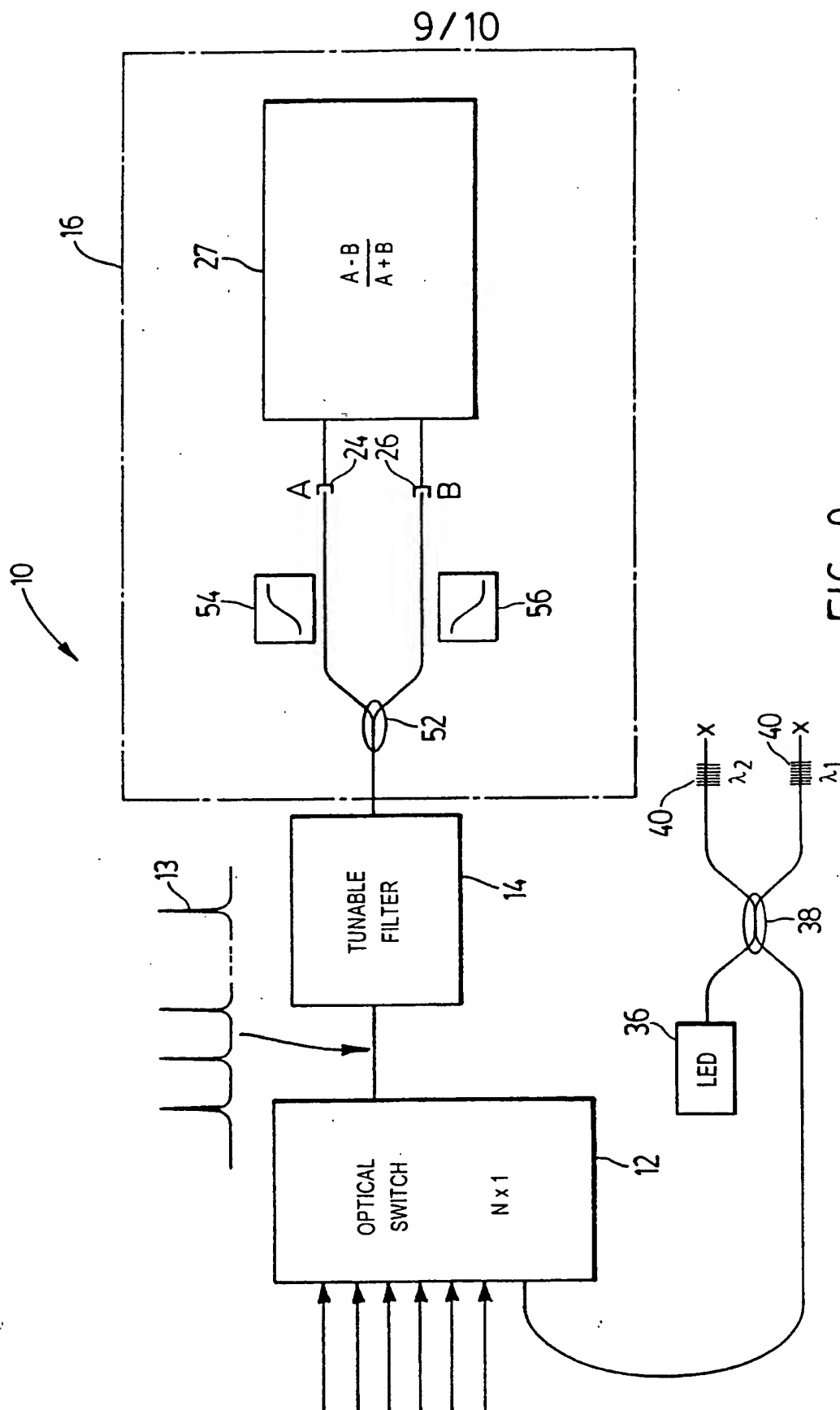


FIG. 9

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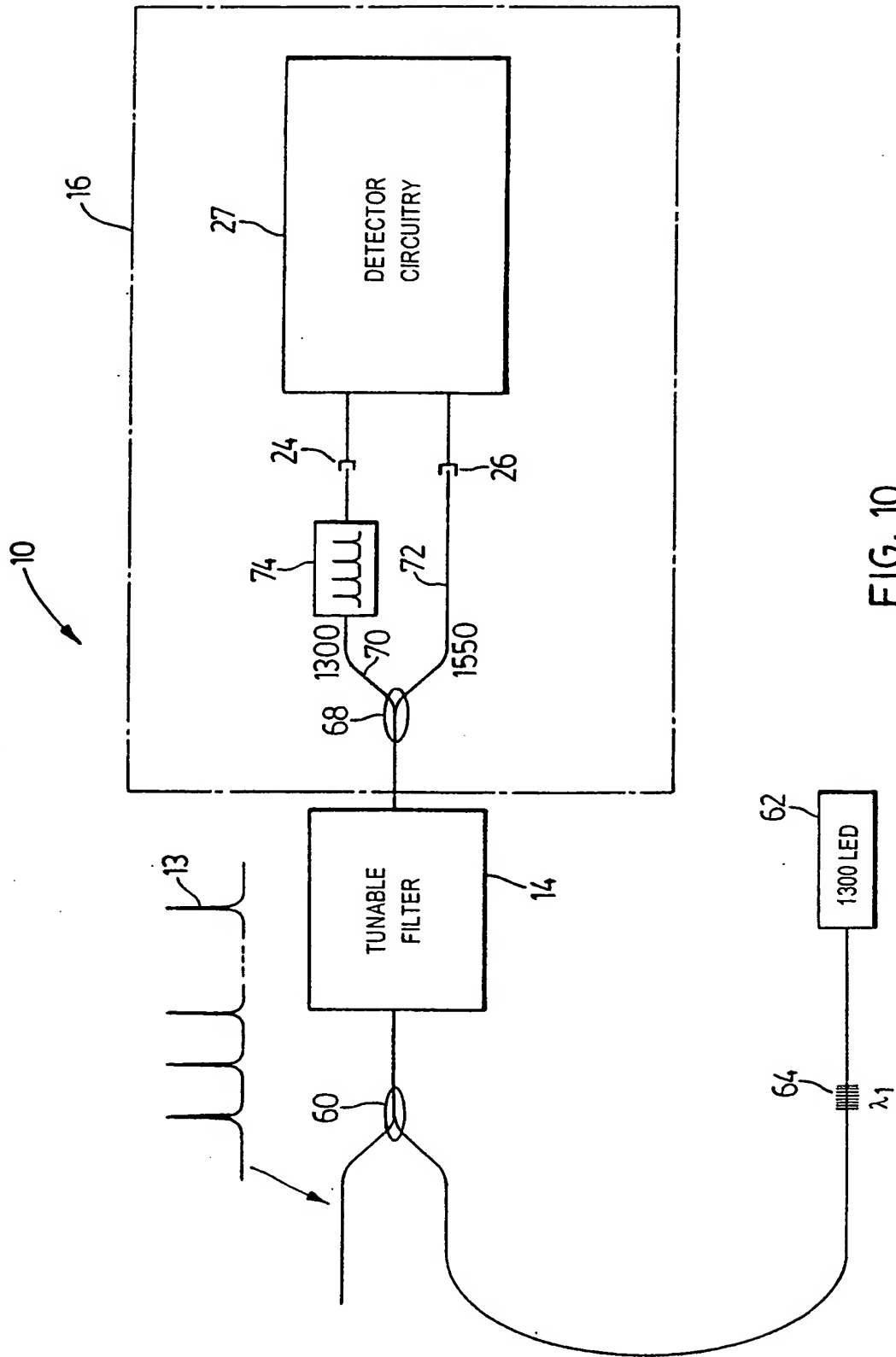


FIG. 10





## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification <sup>7</sup> : <b>H04B 10/08, H04J 14/02</b></p>	<p><b>A3</b></p>	<p>(11) International Publication Number: <b>WO 00/13350</b></p> <p>(43) International Publication Date: 9 March 2000 (09.03.00)</p>		
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p>(21) International Application Number: PCT/CA99/00781</p> <p>(22) International Filing Date: 27 August 1999 (27.08.99)</p> <p>(30) Priority Data: 60/098,382 28 August 1998 (28.08.98) US</p> <p>(71) Applicant: E-TEK ELECTROPHOTONICS SOLUTIONS CORPORATION [CA/CA]; 2770 14th Avenue, Markham, Ontario L3R 0J1 (CA).</p> <p>(72) Inventors: ALAVIE, Tino, A.; Unit 37, 190 Harding Boulevard, Richmond Hill, Ontario L4C 0J9 (CA). XU, Ming, Gang; Suite 701, 5 Brookbanks Drive, Don Mills, Ontario M3A 2L7 (CA). ALLOS, Basil; Apartment 1701, 177 Linus Road, Toronto, Ontario M2J 4S5 (CA).</p> <p>(74) Agents: SCHUMACHER, Lynn, C. et al.; Hill &amp; Schumacher, Suite 802, 335 Bay Street, Toronto, Ontario M5H 2R3 (CA).</p> </td> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p>(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).</p> <p><b>Published</b> <i>With international search report.</i></p> <p>(88) Date of publication of the international search report: 6 July 2000 (06.07.00)</p> </td> </tr> </table>			<p>(21) International Application Number: PCT/CA99/00781</p> <p>(22) International Filing Date: 27 August 1999 (27.08.99)</p> <p>(30) Priority Data: 60/098,382 28 August 1998 (28.08.98) US</p> <p>(71) Applicant: E-TEK ELECTROPHOTONICS SOLUTIONS CORPORATION [CA/CA]; 2770 14th Avenue, Markham, Ontario L3R 0J1 (CA).</p> <p>(72) Inventors: ALAVIE, Tino, A.; Unit 37, 190 Harding Boulevard, Richmond Hill, Ontario L4C 0J9 (CA). XU, Ming, Gang; Suite 701, 5 Brookbanks Drive, Don Mills, Ontario M3A 2L7 (CA). ALLOS, Basil; Apartment 1701, 177 Linus Road, Toronto, Ontario M2J 4S5 (CA).</p> <p>(74) Agents: SCHUMACHER, Lynn, C. et al.; Hill &amp; Schumacher, Suite 802, 335 Bay Street, Toronto, Ontario M5H 2R3 (CA).</p>	<p>(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).</p> <p><b>Published</b> <i>With international search report.</i></p> <p>(88) Date of publication of the international search report: 6 July 2000 (06.07.00)</p>
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<p>(54) Title: METHOD AND APPARATUS FOR OPTICAL PERFORMANCE MONITORING IN WAVELENGTH DIVISION MULTIPLEXED FIBER OPTICAL SYSTEMS</p>				
<p>(57) Abstract</p> <p>The method and apparatus forming the present invention allows for rapid analysis of the optical spectrum and its content by controlling the spectral position of a channel select element and using a ratiometric wavelength and power determination technique to accurately analyze the transmitted or elected portion of the optical spectrum. The channel select element can be either a transmissive or reflective device which can be tuned by way of a control signal. The system can be operated in either scan and post process mode or in a continuous feedback mode where the position of the channel select element is determined by the ratiometric wavelength determination system and used to control the wavelength position of the channel select element. The ratiometric wavelength and power determination system, in its typical form, is based on dividing the spectrally encoded optical signal into two parts. One part of this signal passes through an optical filter with continuously increasing or decreasing transmission as a function of wavelength while the other part is unperturbed. The two parts are subsequently detected by optical to electrical detectors where the electrical signal is proportional to the optical signal. Dividing the two signals reveals a unique number which is a power independent representation of the input wavelength. The present invention advantageously provides a method and device to measure simultaneously several carriers and not just one. Furthermore, in the present invention, a power measurement is obtained by using the unfiltered part of the optical signal.</p>				

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## INTERNATIONAL SEARCH REPORT

International Application No

PCT,CA 99/00781

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 H04B10/08 H04J14/02

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 H04B H04J

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 762 672 A (ALCATEL NV) 12 March 1997  see abstract see column 2, line 46 - line 4 see column 8, line 45 - line 54	1,7-10, 14,24
Y	see column 9, line 42 - line 47	2-4, 11-13, 25-28
Y	--- US 5 747 791 A (COROY TRENTON G) 5 May 1998  see abstract line 47 see column 1, line 63 - column 2, line 2 see column 4, line 49 - column 5, line 27 see column 4, line 49 - column 5, line 27; figure 3  --- -/-	2-4, 11-13, 25-28

☒ Further documents are listed in the continuation of box C.☒ Patent family members are listed in annex.

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\*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

\*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

\*&amp;\* document member of the same patent family

Date of the actual completion of the international search

7 January 2000

Date of mailing of the international search report

19. 04. 2000

Name and mailing address of the ISA

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## INTERNATIONAL SEARCH REPORT

International Application No

PCT/CA 99/00781

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	EP 0 455 461 A (PIRELLI GENERAL PLC) 6 November 1991 see abstract line 27; figure 3 see abstract line 27; figure 1 -----	3,4,13, 25

# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/CA 99/00781

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
  
2. ☐ Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
  
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

see additional sheet

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
  
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
  
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
  
4. ☒ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

1-17, 22-29

### Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

## INTERNATIONAL SEARCH REPORT

International Application No. PCT/CA 99/00781

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

1. Claims: 1-17 22-29

The invention covered by the first group of claims concerns an apparatus for analyzing an optical spectrum using a ratiometric wavelength and power detection system.

2. Claims: 18-21

The invention covered by the second group of claims concerns an optical calibration circuit comprising a grating and a light emitting diode.

# INTERNATIONAL SEARCH REPORT

mation on patent family members

International Application No

PCT/CA 99/00781

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
EP 0762672	A	12-03-1997	FR 2738697 A	14-03-1997
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